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PATENT

Docket No.: 19226/2291 (R-5824, R-5875, R-5881)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants : Lucey et al.

Serial No. : 10/804,629

Cnfrm. No. : 7869

Filed : March 19, 2004

For : PROCESS FOR PRODUCING
SEMICONDUCTOR NANOCRYSTAL CORES,
CORE-SHELL, CORE-BUFFER-SHELL AND
MULTIPLE LAYER SYSTEMS IN A NON-
COORDINATING SOLVENT UTILIZING *IN*
SITU SURFACTANT GENERATION

Examiner:
To Be Assigned

Art Unit:
1621

INFORMATION DISCLOSURE STATEMENT
UNDER 37 CFR §§ 1.97-1.98

Mail Stop Amendment

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Dear Sir:

Pursuant to 37 CFR §§ 1.97-1.98, applicants hereby bring to the attention of the United States Patent and Trademark Office, the enclosed references listed on the attached PTO-1449 form.

Pursuant to 37 CFR § 1.97(b)(3), no fee is required. Should it be determined that a fee is required, however, the Commissioner is authorized to charge that fee to Deposit Account No. 14-1138.

Respectfully submitted,

Date: September 14, 2004

Michael L. Goldman
Registration No. 30,727

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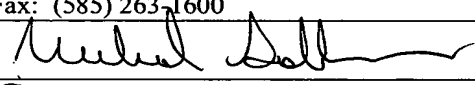
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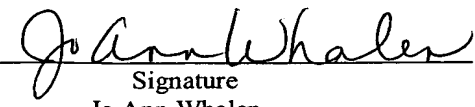
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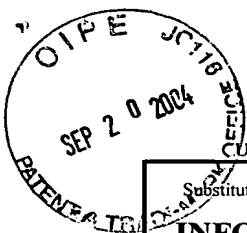


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| TRANSMITTAL FORM (to be used for all correspondence after initial filing) | | Application Number | 10/804,629 |
| | | Filing Date | March 19, 2004 |
| | | First Named Inventor | Lucey et al. |
| | | Group Art Unit | 1621 |
| | | Examiner Name | To be Assigned |
| Total Number of Pages in This Submission | 5 and cited references | Attorney Docket Number | 19226/2291 (R-5824, R-5875, R-5881) |

| ENCLOSURES (check all that apply) | | |
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| <input type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment / Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input checked="" type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/Incomplete Application <input type="checkbox"/> A copy of the Notice to Missing Parts under 37 CFR 1.52 or 1.53 | <input type="checkbox"/> Assignment Papers (for an Application) <input type="checkbox"/> Drawing(s) <input type="checkbox"/> Declaration and Power of Attorney <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____ | <input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input type="checkbox"/> Application Data Sheet <input type="checkbox"/> Request for Corrected Filing Receipt with Enclosures <input checked="" type="checkbox"/> A self-addressed, prepaid postcard for acknowledging receipt <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): PTO 1449 Form (3 pages) and 24 references |
| Remarks | | <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees required or credit any overpayments to Deposit Account No. 14-1138 for the above identified docket number. |

| SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT | |
|--|---|
| Firm or Individual name | Michael L. Goldman, Esq. Nixon Peabody LLP Clinton Square, P.O. Box 31051 Rochester, New York 14603-1051 Telephone: (585) 263-1304 Fax: (585) 263-1600 |
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| Substitute for form 1449A/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary) | | | | Complete if Known | |
| | | | | Application Number | 10/804,629 |
| | | | | Filing Date | March 19, 2004 |
| | | | | First Named Inventor | Lucey et al. |
| | | | | Art Unit | 1621 |
| | | | | Examiner Name | To Be Assigned |
| Sheet | 1 | of | 3 | Attorney Docket Number | 19226/2291 (R-5824, R-5875, R-5881) |

| U.S. PATENT DOCUMENTS | | | | | |
|--------------------------------|-----------------------|--|--------------------------------|--|--|
| Examiner Initials [*] | Cite No. ¹ | U.S. Patent Document | Publication Date MM-DD-YYYY | Name of Patentee or Applicant of Cited Document | Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear |
| | | Number - Kind Code ² (if known) | | | |
| | 1 | US-2003/0097976 | 05/29/2003 | Zehnder et al. | |
| | 2 | US-5,474,591 | 12/12/1995 | Wells et al. | |
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| FOREIGN PATENT DOCUMENTS | | | | | | |
|--------------------------------|-----------------------|--|--------------------------------|--|---|----------------|
| Examiner Initials [*] | Cite No. ¹ | Foreign Patent Document | Publication Date MM-DD-YYYY | Name of Patentee or Applicant of Cited Document | Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear | T ⁶ |
| | | Country Code ³ Number ⁴ Kind Code ⁵ (if known) | | | | |
| | 11 | WO 02/25745 | 03/28/2002 | WIPO | | |
| | 12 | WO 02/29140 | 04/11/2002 | WIPO | | |
| | 13 | WO 03/012006 | 02/13/2003 | WIPO | | |
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| Examiner Signature | | Date Considered | |
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¹ Applicant's unique citation designation number (optional). ² See Kinds Codes of USPTO Patent Documents at 222.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

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| | | | | Application Number | 10/804,629 |
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| | | | | First Named Inventor | Lucey et al. |
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| | | | | Examiner Name | To Be Assigned |
| Sheet | 2 | of | 3 | Attorney Docket Number | 19226/2291 (R-5824, R-5875, R-5881) |

| OTHER PRIOR ART – NON PATENT LITERATURE DOCUMENTS | | | |
|---|-----------------------|---|----------------|
| Examiner Initials* | Cite No. ¹ | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published. | T ² |
| | 14 | Li et al., "Large-Scale Synthesis of Nearly Monodisperse CdSe/CdS Core/Shell Nanocrystals Using Air-Stable Reagents via Successive Ion Layer Adsorption and Reaction," <i>J. Am. Chem. Soc.</i> , 125:12567-12575 (2003) | |
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| | 18 | Beachley et al., "Chemistry of In(C ₅ H ₅) ₃ and Some Heteroleptic Organoindium (III) Derivatives. Crystal and Molecular Structures of In(C ₅ H ₅) ₃ , (C ₅ H ₅) ₃ In·PPh ₃ , and (Me ₃ CCH ₂) ₂ In(C ₅ H ₅)," <i>Organometallics</i> , 21:4632-4640 (2002) | |
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| | 21 | Park et al., "Cis-Trans Isomerization and Structure of Dimeric [Me ₂ Ga(μ-NH ^t Bu)] ₂ ," <i>Organometallics</i> , 11:3320-3323 (1992) | |
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| Examiner Signature | | Date Considered | |
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| Examiner Initials* | Cite No. ¹ | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published. | T ² |
| | 25 | Maury et al., "Raman Spectroscopy Characterization of Polycrystalline GaP Thin Films Grown By MO-CVD Process Using [Et ₂ Ga –PEt ₂] ₃ as Only Source," <i>J. Phys. (Paris)</i> , 43:CI-347-CI-352 (1982) | |
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| | 32 | Beachley et al., "Chemistry of Indium(III) Tris(cyclopentadienide). Reactions with Diphenylphosphine, <i>tert</i> -Butyl Alcohol, and Acetylacetone. Cyclopentadiene and Reductive Elimination Reactions," <i>Organometallics</i> , 22:1690-1695 (2003) | |
| | 33 | Furis et al., "Spectroscopic Studies of InP Nanocrystals Synthesized Through a Fast Reaction," Proceedings of the MRS-Materials Research Symposium, (2003) (Abstract) | |
| | 34 | Cartwright et al., "Ultrafast Dynamics in Nanostructured Materials," Proceedings of SPIE-The International Society for Optical Engineering, 5222(Nanocrystals, and Organic and Hybrid Nanomaterials), 134-139 (2003) (Abstract) | |
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